



INFORMATION CITED BY APPLICANT THAT MAY BE MATERIAL TO THE  
PROSECUTION OF THE SUBJECT APPLICATION

Applicant: Christopher Keith Attorney Docket No.: IVEN125469  
Application No.: 09/802,088 Art Unit: 3693 / Confirmation No.: 4943  
Filed: March 8, 2001 Examiner: J. Borlinghaus  
Title: AUTOMATED SHORT TERM OPTION ORDER PROCESSING

U.S. PATENT DOCUMENTS

*Examiner Initials	Cite No.	Document No.	Kind Code	Date (mm/dd/yyyy)	Name
JB	U1	3,702,007		10/31/1972	Davis II
	U2	4,346,442		08/24/1982	Musmanno
	U3	4,376,978		03/15/1983	Musmanno
	U4	4,456,957		06/26/1984	Schieltz
	U5	4,823,265		04/18/1989	Nelson
	U6	5,077,665		12/31/1991	Silverman et al.
	U7	5,101,353		03/31/1992	Lupien et al.
	U8	5,148,365		09/15/1992	Dembo
	U9	5,148,368		09/15/1992	Okubo
	U10	5,253,165		10/12/1993	Leiseca et al.
	U11	5,297,032		03/22/1994	Trojan et al.
	U12	5,412,804		05/02/1995	Krishna
	U13	5,615,269		03/25/1997	Micali
	U14	5,689,652		11/18/1997	Lupien et al.
	U15	5,845,266		12/01/1998	Lupien et al.
	U16	5,847,845		12/08/1998	Takahashi et al.
	U17	5,915,245		06/22/1999	Patterson, Jr. et al.
	U18	5,924,083		07/13/1999	Silverman et al.
	U19	5,953,707		09/14/1999	Huang et al.
	U20	5,983,200		11/09/1999	Slotznick

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JB	U21	6,014,643		01/11/2000	Minton
	U22	6,029,146		02/22/2000	Hawkins et al.
	U23	6,035,289		03/07/2000	Chou et al.
	U24	6,068,117		05/30/2000	Koehn
	U25	6,101,484		08/08/2000	Halbert et al.
	U26	6,131,087		10/10/2000	Luke et al.
	U27	6,160,204		12/12/2000	Steffens
	U28	6,236,980	B1	05/22/2001	Reese
	U29	6,278,982	B1	08/21/2001	Korhammer et al.
	U30	6,285,989	B1	09/04/2001	Shoham
	U31	6,317,727	B1	11/13/2001	May
	U32	6,317,728	B1	11/13/2001	Kane
	U33	6,321,212	B1	11/20/2001	Lange
	U34	6,343,278	B1	01/29/2002	Jain et al.
	U35	6,408,282	B1	06/18/2002	Buist
	U36	6,418,419	B1	07/09/2002	Nieboer et al.
	U37	6,421,653	B1	07/16/2002	May
	U38	6,493,682	B1	12/10/2002	Horrigan et al.
	U39	6,505,174	B1	01/07/2003	Keiser et al.
	U40	6,601,044	B1	07/29/2003	Wallman
	U41	6,625,583	B1	09/23/2003	Silverman et al.
	U42	6,629,082	B1	09/30/2003	Hambrecht et al.
	U43	6,792,399	B1	09/14/2004	Phillips et al.
	U44	2003/0014354	A1	01/16/2003	Madoff et al.
V	U45	2003/0014379	A1	01/16/2003	Saias et al.

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# FOREIGN PATENT DOCUMENTS

None.

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**OTHER INFORMATION**  
(Including Author, Title, Date, Pertinent Pages, Etc.)

*Examiner Initial	Cite No.
<u>JB</u>	<del>O1 Board of Trade of the City of Chicago, <i>Commodity Trading Manual</i>, 1998, pp. 178-179, 387.</del>
<u>JB</u>	<del>O2 Livingston, <i>Bonds and Bond Derivatives</i>, 1999, Blackwell, pp. 38-41.</del>
<u>JB</u>	<del>O3 "More Companies Buying Stock," <i>The Salt Lake Tribune</i>, April 9, 2000, <a href="http://proquest.umi.com/pqdweb?index=6&amp;did=52501230&amp;SrchMode=1&amp;sid=21&amp;Fmt=3...">http://proquest.umi.com/pqdweb?index=6&amp;did=52501230&amp;SrchMode=1&amp;sid=21&amp;Fmt=3...</a> [retrieved November 3, 2005]</del>
<u>JB</u>	<del>O4 "Streamer Free Real-Time Stock Quote Service Registers 12,000 Users," <i>PR Newswire</i>, November 3, 1999, <a href="http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/pl/article.jhtml">http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/pl/article.jhtml</a>, [retrieved April 5, 2004].</del>

<b>Examiner</b>	<b>Date Considered</b>
<u>/Jason Borlinghaus/</u>	<u>(10/01/2006)</u>

\*Examiner: Initial if reference considered, whether or not citation is in conformance with M.P.E.P. § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

KLM:sdd

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